



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No. 1632**  
Norio KIMURA et al. : Docket No. 2001-0660A  
Serial No. 09/864,208 : Group Art Unit 1763  
Filed May 25, 2001 : Examiner Sylvia MacArthur

**RECEIVED**

**OCT 0 8 2003**

**TC 1700**

SUBSTRATE POLISHING APPARATUS  
AND SUBSTRATE POLISHING METHOD

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No.

1a. ☐ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☒ This Information Disclosure Statement is submitted

10/07/2003 CCHAU1 00000009 09864208 180.00 DP  
01 FC:1806

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☒ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

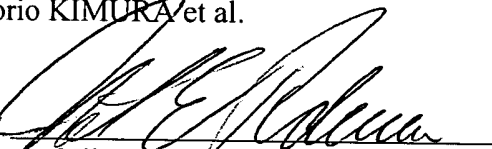
2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
  - b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Norio KIMURA et al.

By 

Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

NEP/krg  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
October 6, 2003

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE AN INDEMNITY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: October 6, 2003

ATTY DOCKET NO.  
2001-0660ASERIAL NO.  
09/864,208

OCT 06 2003

APPLICANT  
Norio KIMURA et al.FILING DATE  
May 25, 2001GROUP  
1763

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE    | NAME            | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|---------|-----------------|-------|----------|-------------------------------|
|                      | AA | 5,514,245          | 5/1996  | Doan et al.     |       |          |                               |
|                      | AB | 5,559,428          | 9/1996  | Li et al.       |       |          |                               |
|                      | AC | 5,644,221          | 7/1997  | Li et al.       |       |          |                               |
|                      | AD | 5,659,492          | 8/1997  | Li et al.       |       |          |                               |
|                      | AE | 5,660,672          | 8/1997  | Li et al.       |       |          |                               |
|                      | AF | 5,663,637          | 9/1997  | Li et al.       |       |          |                               |
|                      | AG | 5,676,587          | 10/1997 | Landers et al.  |       |          |                               |
|                      | AH | 5,731,697          | 3/1998  | Li et al.       |       |          |                               |
|                      | AI | 5,770,948          | 6/1998  | Li et al.       |       |          |                               |
|                      | AJ | 6,555,466          | 4/2003  | Laursen et al.  |       |          |                               |
|                      | AK | 6,558,229          | 5/2003  | Kimura et al.   |       |          |                               |
|                      | AL | 6,579,148          | 6/2003  | Hirokawa et al. |       |          |                               |
|                      | AM | 6,582,282          | 6/2003  | Somekh          |       |          |                               |
|                      | AN | 6,602,724          | 8/2003  | Redeker et al.  |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |  |
|--|----|--------------------|---------|---------|-------|----------|-----------------------|--|
|  | AO | 1066925A2          | 1/2001  | EP      |       |          |                       |  |
|  | AP | 02/103777          | 12/2002 | WO      |       |          |                       |  |
|  | AQ | 02/103779          | 12/2002 | WO      |       |          |                       |  |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |  |
|--|----|--|
|  | AR |  |
|--|----|--|

EXAMINER

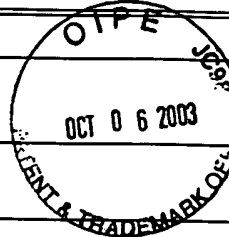
DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: October 6, 2003

ATTY DOCKET NO.  
2001-0660ASERIAL NO.  
09/864,208APPLICANT  
Norio KIMURA et al.FILING DATE  
May 25, 2001GROUP  
1763

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE    | NAME           | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|---------|----------------|-------|----------|-------------------------------|
|                      | AA | 5,897,426          | 4/1999  | Somekh         |       |          |                               |
|                      | AB | 6,072,313          | 6/2000  | Li et al.      |       |          |                               |
|                      | AC | 6,120,354          | 9/2000  | Koos et al.    |       |          |                               |
|                      | AD | 6,162,368          | 12/2000 | Li et al.      |       |          |                               |
|                      | AE | 6,218,306          | 4/2001  | Fishkin et al. |       |          |                               |
|                      | AF | 6,220,941          | 4/2001  | Fishkin et al. |       |          |                               |
|                      | AG | 6,261,157          | 7/2001  | Bajaj et al.   |       |          |                               |
|                      | AH | 6,261,158          | 7/2001  | Holland et al. |       |          |                               |
|                      | AI | 6,413,156          | 7/2002  | Shimizu et al. |       |          |                               |
|                      | AJ | 6,435,942          | 8/2002  | Jin et al.     |       |          |                               |
|                      | AK | 6,435,945          | 8/2002  | Somekh         |       |          |                               |
|                      | AL | 6,436,302          | 8/2002  | Li et al.      |       |          |                               |
|                      | AM | 6,443,814          | 9/2002  | Miller et al.  |       |          |                               |
|                      | AN | 6,468,135          | 10/2002 | Cruz et al.    |       |          |                               |
|                      | AO | 6,476,921          | 11/2002 | Saka et al.    |       |          |                               |
|                      | AP | 6,544,103          | 4/2003  | Korovin        |       |          |                               |

RECEIVED

OCT 08 2003

TC 1700

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|--|----|--------------------|------|---------|-------|----------|-----------------------|
|  | AQ |                    |      |         |       |          |                       |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |  |
|--|----|--|
|  | AR |  |
|--|----|--|

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.